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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	11533.0026.NPUS02
First Inventor	Douglas Aillard
Title	PREFILTER FOR WATER TREATMENT
Express Mail	EL615212745US

7856 U.S. 570
10 656490
09/04/03

APPLICATION ELEMENTS

ADDRESS TO:

Assistant commissioner for Patents
Box Patent Application
Washington, DC 20231

See MPEP Chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 22]
(preferred arrangement set forth below)
-Descriptive title of the invention
-Cross reference to Related Applications
-Statement Regarding Fed Sponsored R & D
-Reference to sequence listing, a table
or a computer program listing appendix
-Background of the invention
-Brief Summary of the invention
-Detailed Description
-Claims(s)
-Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 4]
5. ☐ Oath or Declaration [Total Pages ☐a. ☐ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuational divisional with Box 17 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or
Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of
(when there is an assignee) Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information disclosure ☐ Copies of IDS
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: /


Prior application information: Examiner Group I Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label  or ☐ Correspondence address below

Name	Howrey Simon Arnold & White LLP			
Address	301 Ravenswood Avenue			
City	Menlo Park	State	CA	Zip Code 94025
Country	USA	Telephone	650.463.8100	Fax 650.463.8400

NAME (Print/Type)	Glenn Rhodes/Heather Fan	Registration No. (Attorney/Agent)	31,7790/51,664
Signature		Date	09/04/03

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

FEE TRANSMITTAL For FY 2003

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$375.00)

Complete If Known

Application Number	Unassigned
Filing Date	September 4, 2003
First Named Inventor	Douglas Allard
Examiner Name	Not Yet Assigned
Group Art Unit	Not Yet Assigned
Attorney Docket No.	11533.0026.NPUS02

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees, and credit any overpayments to:
- Deposit Acct. No. **08-3038**
- Deposit Account Name **Howrey Simon Arnold & White, LLP**
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:
☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE					Fee Paid
Large Fee Code	Entity Fee Code	Small Fee Code	Entity Fee Code	Fee Description	
101	150	201	375	Utility filing fee	\$375.00
106	330	206	165	Design filing fee	
107	520	207	260	Plant filing fee	
108	750	208	375	Reissue filing fee	
114	180	214	80	Provisional filing fee	
SUBTOTAL (1)					\$375.00

2. EXTRA CLAIM FEES					Fee Paid
Total Claims	Entity Fee Code	Small Fee Code	Entity Fee Code	Fee Description	
19	201	0	0	Extra Claims	\$0.00
4	375	1	1	Independent Claims	\$42.00
Multiple Dependent					\$42.00

Large Fee Code	Entity Fee Code	Small Fee Code	Entity Fee Code	Fee Description	
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim, if not paid	
109	84	209	42	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					\$42.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

Large Fee Code	Entity Fee Code	Small Fee Code	Entity Fee Code	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
130	130	130	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte examination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	410	216	205	Extension for reply within second month	
117	930	217	465	Extension for reply within third month	
118	1,450	218	725	Extension for reply within fourth month	
128	1,970	228	985	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,300	241	650	Petition to revive - unintentional	
142	1,300	242	650	Utility issue fee (or reissue)	
143	470	243	235	Design issue fee	
144	630	244	315	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	190	126	100	Submission of Information Disclosure Sheet	
581	40	581	40	Recording each patent assignment per property (limits number of properties)	
146	750	246	375	Filing a submission after final rejection (37 CFR § 1.125(a))	
149	750	249	375	For each additional invention to be examined (37 CFR § 1.129(b))	
179	750	279	375	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____
* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) _____

SUBMITTED BY

Name (Print/Type) **Glenn Rhodes/Heather Fan**

Signature *Heather Fan*

Registration No. (Attorney/Agent) **31,790/51,664**

Complete (if applicable)

Telephone **650-463-8294**

Date **Sept. 4, 2003**

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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